

## 4.5 CHECKING AND CORRECTIVE ACTION

### 4.5.2 NONCONFORMANCE AND CORRECTIVE AND PREVENTIVE ACTION

**Auditor Name and Date:** \_\_\_\_\_

**Organization and Department Audited:** \_\_\_\_\_

**Personnel Interviewed:** \_\_\_\_\_

#### STANDARD REQUIREMENTS

4.5.2 The organization shall...

Conforms (Y/N)	
...establish and maintain procedures for defining responsibility and authority for handling and investigating nonconformances, taking action to mitigate any impacts caused and for initiating and completing corrective and preventive action;	
...ensure that any corrective or preventive action taken to eliminate the causes of actual and potential nonconformances shall be appropriate to the magnitude of problems and commensurate with the environmental impact encountered;	
...implement and record any changes in the documented procedures resulting from corrective and preventive action.	

**NOTES:**

**OVERALL CONFORMANCE: YES NO**

<b>4.5.2 Nonconformance and Corrective and Preventive Action: Supplemental Questions by Function</b>		
<b><i>DEPUTY DIRECTOR</i></b>		<b>OBJECTIVE EVIDENCE</b>
<b>a.</b>	Who is responsible for investigating nonconformances to the EMS?	
<b>b.</b>	Who handles the implementation of corrective and preventive action resulting from C/PAR submittals?	
<b>c.</b>	Explain what happens to a C/PAR once submitted?	

<b><i>EMS REPRESENTATIVE</i></b>		<b>OBJECTIVE EVIDENCE</b>
<b>a.</b>	Does the organization have procedures for defining responsibility and authority for handling and investigating nonconformance?	
<b>b.</b>	Whose responsibility is it to take action to mitigate the impacts caused by the nonconformance?	
<b>c.</b>	How are changes resulting from C/PAR submittals implemented and recorded?	
<b>d.</b>	How is management kept informed of corrective actions taken and the progress made toward preventing recurrence?	

<b><i>SENIOR STAFF</i></b>		<b>OBJECTIVE EVIDENCE</b>
<b>a.</b>	What part do you play in the mitigation of nonconformances?	
<b>b.</b>	How do you keep management informed of the corrective actions taken and the progress made toward preventing recurrence?	
<b>c.</b>	Who retains the records on action taken in response to C/PAR submittals?	

<b>4.5.2 Nonconformance and Corrective and Preventive Action: Supplemental Questions by Function (cont.)</b>
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<b><i>DIVISION PERSONNEL</i></b>		<b>OBJECTIVE EVIDENCE</b>
<b>a.</b>	Do you know what a C/PAR is and what they used are for?	
<b>b.</b>	To whom would you submit a C/PAR if you saw the need to fill one out?	

**NOTES:**

**DOCUMENTS:**

- ☐ Procedure regarding corrective and preventive actions to verify that responsibility and authority for handling nonconformance is defined.
- ☐ Evidence of changes to procedures based on corrective or preventive actions, where warranted.
- ☐ Reports or printouts from tracking or trending efforts.
- ☐ Corrective action plans and root cause analysis.
- ☐ Reports to management regarding corrective and preventive actions to determine management's role in the corrective/preventive action process and to assess the flow of environmental information. Accident and incident investigation reports.

**EMS LINKS:**

- Operational Control
- Monitoring and Measurement
- Environmental Management System Audit